

**DEPARTMENT OF THE TREASURY
FEDERAL LAW ENFORCEMENT TRAINING CENTER
GLYNCO, GA 31524**

FLETC DIRECTIVE (FD)

NUMBER: 64-10.C

SUBJECT: SES Candidate Development Program

DATE: 10-11-00

SUNSET REVIEW DATE: 10-11-04

1. PURPOSE. To establish policy and procedures for the development of individuals for Senior Executive Service (SES) positions through a formal SES Candidate Development Program (CDP).
2. SCOPE. The provisions of this directive apply to the Federal Law Enforcement Training Center (FLETC).
3. AUTHORITIES.
 - 5 USC 3396 and 3397
 - 5 CFR 412
 - 5 CFR 317
4. REFERENCE. Treasury Personnel Policy Manual Chapter 412.2 dated November 6, 1997.
5. BACKGROUND. Office of Personnel Management (OPM) regulations issued September 4, 1996, establish new minimum requirements for formal SES CDPs. The regulations also require that each agency conducting a CDP have a written, OPM-approved policy describing the program's operations.
6. POLICY. It is the policy of the FLETC to promote effective management by identifying individuals with leadership potential and developing the skills and corporate perspective they need to assume executive positions. The FLETC recognizes that the SES CDP is one way to identify and develop executives.
7. RESPONSIBILITIES.
 - a. Director of FLETC is responsible for:
 - (1) Monitoring executive staffing levels and availability of skilled executives as part of the strategic and succession planning efforts;
 - (2) Identifying members of the FLETC Executive Resource Board (ERB) and appointing a chairperson for the board;
 - (3) Providing for the systematic development of individuals for advancement to executive positions and determining the role that the CDP will

play in that development;

(4) Selecting candidates for executive development consistent with merit system principles; and

(5) Ensuring that certified candidates are given consideration for SES positions at the FLETC as vacancies occur

b. FLETC Executive Resource Board (ERB) is responsible for:

(1) Rating and ranking the eligible candidates for referral to the director for selection;

(2) Approving Individual Development Plans (IDPs) for SES candidates;

(3) Selecting mentors for SES candidates, and determining mentor training needs;

(4) Monitoring SES candidates' performance and providing guidance throughout the developmental period;

(5) Certifying SES candidates' successful completion of IDPs and their acquisition of the executive core qualifications required for entry into the SES;

(6) Requesting Qualifications Review Board (QRB) certification of candidate as prescribed in Treasury Personnel Policy Manual Chapter 412.2; and

(7) Terminating program participation based on unacceptable performance, failure to complete program in designated timeframe, or at the SES candidate's request

c. Mentors are responsible for:

(1) Preparing for service as a mentor by completing such orientation, training, or independent reading as may be prescribed by the ERB;

(2) Providing general career counseling and guidance to SES candidates on preparing for the SES;

(3) Recommending developmental activities to be included in SES candidates' IDPs; and

(4) Serving as a liaison with other executives to facilitate SES candidates' access to training and developmental assignment opportunities

d. SES Candidates are responsible for:

(1) Completing an assessment tool which will assist in identifying the current proficiency level and job strengths and identify areas for career development;

(2) Develop an IDP based on the results of the assessment;

(3) Seek guidance from the assigned mentor, the ERB, and other officials as needed throughout the development period; and

(4) Completing all IDP activities in a timely manner, keeping the ERB apprised of progress and securing ERB approval for any significant modifications to the IDP

Candidates completing the FLETC SES CDP are in no way guaranteed selection for any vacant SES positions that might be available.

e. Human Resources Officer is responsible for:

(1) Establishing and administering the SES CDP consistent with law, regulations, and Departmental requirements;

(2) Conducting the merit staffing process for the SES CDP and making recommendations for selections to the appointing authority;

(3) Serve in an advisory role to the ERB; and

(4) Reviewing and forwarding requests of the ERB for certification of executive qualifications of each candidate to Office of Personnel Policy (OPP) for submission to OPM for action

8. REQUIREMENTS.

a. Duration. The FLETC SES CDP will last a minimum of one year and a maximum of two years. Each candidate will have a documented starting and ending date for the program. The starting date will be the date the candidate's developmental activities begin and the ending date will be the date the ERB certifies completion of all IDP activities. (For candidates who do not successfully complete the program, the ending date will be the date of termination from the program.)

b. Recruitment. The recruitment area for the FLETC SES CDP will be open to cover all "Qualified Federal Employees Only" or "All Qualified Persons" taking into consideration the goal of achieving a diversified workforce. The announcement will be open for 30 days. The announcement will be entered into the OPM's electronic Federal Job Opportunity Listing with a copy provided to OPP.

c. Eligibility. Participation in the FLETC SES CDP will be limited to

individuals who are now serving or have previously served at the GS/GM-14 or GS/GM-15 level or equivalent.

d. “Status” Program. FLETC SES CDP will be limited to “status” candidates. The vacancy announcement will specify that consideration is limited to “status” candidates, and only employees serving under career or career-type appointments may participate. Career-type appointments are defined at 5CFR 317.304(a)(2).

e. Selection. All selections will follow SES merit staffing procedures. The number of selections must be consistent with the number of anticipated SES vacancies.

f. SES Mentor. Each individual selected under FLETC SES CDP must have an assigned mentor who is an SES member. The role of the mentor is to assist the candidate and provide guidance during the developmental process. The mentor need not be in the same organization as the candidate and to the extent possible, should generally be outside the candidate’s line of authority (i.e., someone other than a first or second-level supervisor). Mentors will be selected by the ERB. Consultation among the ERB, appointing authority, and candidate is strongly encouraged. In all cases, selections of mentors should take into account the developmental needs of the individual candidates and try to match candidates and mentors accordingly. Before permitting an SES member to serve as a mentor, the ERB will consider the member’s prior experience and training in facilitating and coaching, and prescribe additional orientation, training, or independent reading on mentoring to the extent that it is necessary.

g. Individual Needs Assessment. Prior to beginning the developmental process, each candidate will complete an assessment to determine which executive core qualifications need to be developed or strengthened during the program.

h. Individual Development Plan (IDP). Based on the results of the assessment, each candidate will develop an IDP reflecting past work, education and training, and planned developmental activities. The IDP is to be prepared in coordination with the candidate’s SES mentor and supervisor of record, and must be approved by the ERB. At a minimum, each plan must include:

(1) An initial orientation session. The purpose of the orientation is to familiarize candidates with program requirements, policies, and expectations, and provide interaction with senior management officials. The orientation must include a briefing or presentation by a Department management official to promote a corporate identity and an exchange of ideas, priorities and initiatives by Treasury executives.

(2) A formal interagency training experience that addresses the executive core qualifications and their application to SES positions

Government-wide. To satisfy the minimum requirement, the training must be at least 80 hours (two full weeks) in duration and include interaction with a wide mix of Federal employees outside of the Department, but may also include managers from state and local government and the private sector. The nature and scope of the training must have Government-wide or multi-agency applicability. (Examples of training which have been used to satisfy this requirement are found at the Attachment).

(3) Developmental assignments designed to broaden the candidate's experience and/or increase knowledge of the functions of the FLETC and/or the Department. To satisfy the minimum requirement, one or more assignments may be used, but they must total at least four months (16 weeks) of full-time service and must be outside the candidate's position of record. Assignments should take into consideration each candidate's work history and specific developmental objectives, and should generally be in an area in which the candidate has little or limited experience.

(4) Treasury Executive Institute (TEI) sessions. Each candidate will attend a minimum of two sessions at TEI to address current issues and promote interaction with other executives and candidates.

(5) Supplemental training and activities. Depending on each candidate's needs and objectives, the IDP may include additional developmental training and activities. These may include internal or external training in specialized fields (e.g., financial management, information technology, media relations); details, rotations, or shadow assignments to other functional or program areas; participation on various committees, task forces, or working groups; or completion of special case studies, projects, and initiatives.

i. Evaluation. At periodic intervals, but at least every six months, the ERB will review each candidate's performance and progress in completing IDP activities and document the review on the IDP.

j. Certification. Within nine months of a candidate's successful completion of the FLETC SES CDP, the ERB will request certification of the candidate's executive qualifications. (Extensions may be granted by the Director, Office of Personnel Policy, but should be requested prior to the nine month ending date.)

k. Termination. A candidate's participation in the FLETC SES CDP will automatically terminate upon separation from the FLETC. Participation may also be terminated at the candidate's request or by action of the ERB. When initiated by the ERB, the termination must be based on unacceptable performance or failure to complete program requirements in the designated timeframe, and the candidate must be given a written notice that includes the effective date and reason for program termination. Termination of program participation is not subject to adverse action procedures and does not, in itself,

affect the candidate's employment status. (To place a candidate in a new position or terminate an appointment, the FLETC must effect a separate action following regular staffing or removal procedures).

9. PROCEDURES.

a. Establishment of the FLETC SES CDP. The FLETC will provide all required documents to the Director, Office of Personnel Policy, described in Treasury Personnel Policy Manual Chapter 412.2.

b. Notification following program entry or termination. The FLETC will provide all required forms to the Director, Office of Personnel Policy, as described in Treasury Personnel Policy Manual Chapter 412.2.

c. Approval notification. Upon approval by the OPM Qualifications Review Board (QRB), the Office of Personnel Policy will notify the FLETC and forward the candidate's formal Certificate of Executive Qualifications.

10. OFFICE OF PRIMARY INTEREST. Human Resources Division, Planning and Resources Directorate.

W. Ralph Basham
Director

ATTACHMENT TO FLETC DIRECTIVE 64-10.C

INTERAGENCY TRAINING ALTERNATIVES

Each participant in the FLETC SES CDP is required to complete a formal course of training totaling a minimum of 80 hours (two weeks) that addresses the Executive Core Qualifications and their application to SES positions Government-wide. To foster a corporate perspective, the training must include interaction with a wide mix of employees outside the candidate's department or agency, but may also include managers from the private sector and state and local governments. The nature and scope of the training must have Government-wide or multi-agency applicability.

Candidates may select from a variety of interagency training alternatives to fulfill this requirement. Following are examples of courses that have been used alone or in combination (depending on course length) to satisfy this requirement in the other agencies. Please note, however, that some courses are modified over time. It is the responsibility of each candidate to ensure that the content, audience, and duration of the selected course(s) will satisfy the core interagency training requirement in full.

American University

- Key Executive Program

Aspen Institute

- Executive Seminar

Brookings Institution

- Emerging Issues in Public Management
- New Directions in National Policy Making
- Understanding Business Policy and Operations
- Inside Washington: Business and Public Policy
- Benchmarking Business Seminar: Business Transformation & Innovation

Carnegie-Mellon Institute

- Executive Program

Federal Executive Institute

- Executive Excellence Program
- Leadership for a Democratic Society

George Washington University

- Contemporary Executive Development Seminar

Harvard University

- Senior Executive Fellows Program (Kennedy School of Government)

Industrial College of the Armed Forces

- Regular Program

National Louis University

- Management and Leadership
- Managing Resources
- Performance Analysis and Productivity Improvement
- Problem Solving and Decision Making Strategies

National War College

- Regular Program

OPM Management Development Centers

- Executive Development Seminar

Penn State University

- Program for Strategic Leadership

University of California at Berkeley

- Management 2001: Crafting the Winning Organization

University of Virginia (Darden)

- Creating the Future: The Challenge of Transformational Leadership
- Creating and Sustaining the High-Performing Organization

USDA Graduate School

- Leading People
- Managing for Results
- Business Acumen
- Interest-Based Negotiations for Executives
- Washington Executive Seminar

University of North Florida

- Leadership Excellence
- Managing in a Changing Environment

University of Georgia

- Leadership Plus

University of South Carolina

- Daniel Management Center's Leadership Development